Commonwealth of Kentucky
Information Technology Standards Committee
Charter

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Prepared by:
Commonwealth Office of Technology
Office of Enterprise Technology
Division of Enterprise Architecture

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1. Introduction

KRS 42.720 mandates the Chief Information Officer (CIO) of the Commonwealth Office of Technology (COT) as the single point of contact and spokesperson for all matters related to Information Technology (IT) in the Commonwealth. In a cooperative and collaborative approach to working with other state government agencies, the Enterprise Architecture and Standards Committee (EASC) was established to assist COT in carrying out its mission related to:

1.1 KRS 42.720 (3): "Government-wide planning, investment, protection, and direction for information resources must be enacted to:
(a) Ensure the effective application of information technology on state business operations;
(b) Ensure the quality, security, and integrity of state business operations; and
(c) Provide privacy to the citizens of the Commonwealth."

1.2 KRS 42.720 (10): "The sharing of information resources and technologies among executive branch state agencies is the most cost-effective method of providing the highest quality and most timely government services that would otherwise be cost-prohibitive."

1.3 KRS 42.720 (11): "The ability to identify, develop, and implement changes in a rapidly moving field demands the development of mechanisms to provide for the research and development of technologies that address systems, uses and applications."

In October 2012, the Governor published Executive Order 2012-880, Regarding the Centralization of Information Technology Infrastructure Resources across the Commonwealth which directed,

1. The operational control of all executive branch information technology infrastructure services shall hereafter be the responsibility of the Commonwealth Office of Technology residing in the Finance and Administration Cabinet.
2. There is hereby created the position of Chief Information Officer ("CIO") of the Commonwealth Office of Technology ("COT"). The CIO will be the top official at COT. The CIO shall report directly to the Secretary of the Finance and Administration Cabinet. The CIO shall be a member of the Governor's Executive Cabinet.
3. The CIO of COT shall be responsible for management of all executive branch information technology infrastructure services. These duties include, but are not limited to the following: information technology infrastructure, computing equipment, support staff, servers, networks, storage, desktop support, telephony, enterprise shared systems, information technology security, disaster recovery, business continuity, database administration, software licensing, and all related planning, administration, asset management and procurement.

Additional language from the Executive Order is omitted for brevity here.

In compliance with EO 2012-880, as of March 2014, the EASC was re-chartered as the Commonwealth of Kentucky Information Technology Standards Committee (hereinafter referred to as the Kentucky ITSC or ITSC). At the same time, the Commonwealth Enterprise Architecture and Standards are re-organized to align more closely with the Federal Government's Federal Enterprise Architecture Framework Version 2 (FEAF-II) and their reference models and renamed the Kentucky Information Technology Standards (KITS). The current version of this framework is defined in https://gotsource.ky.gov/docushare/dsweb/Get/Document-391083/Federal-Enterprise-Architecture-Framework-v2-as-of-Jan-29-2013.pdf

The Kentucky IT Standards define the set of technical components that are approved for use in Commonwealth IT systems. The decisions for inclusion in the KITS are intended to provide the most consistent, cost effective and easily supported solutions possible. The framework employed to organize the standards is the Federal Consolidated Reference Model (CRM) and its technical components of the Infrastructure Reference Model (IRM) and the Application Reference Model (ARM).

It is the privilege and responsibility of Kentucky State Government to deliver the best possible services for the citizens of the State of Kentucky. With this sense of responsibility, guided by the aforementioned references, the Kentucky Information Technology Standards Committee is dedicated to supporting the delivery of these technology based services in the most cost-effective and efficient way. Maintenance of the KITS requires an ongoing commitment by the Kentucky Information Technology Standards Committee members. The evolution of new products, technology trends, business trends, and citizen demands require frequent and timely updates to the standards to ensure that data and services remain accessible.

2. Mission

The Mission of the Kentucky ITSC is to govern information technology standards for the executive branch of Kentucky State Government. The goal of statewide technology architecture is to enhance coordination, simplify integration, build a consistent IT environment, and generally allow greater efficiencies in the development of technology solutions. The intent of the program is to realize these goals while ensuring effective use of state resources, thereby enabling consistent, effective delivery of services to the employees, citizens, and businesses of Kentucky.

3. Vision

The Vision of the Kentucky ITSC is to define the technologies and decision-making criteria for the acquisition and deployment of IT in the Commonwealth.

4. Objectives

The key objectives for the Kentucky ITSC are:

1. Support the development and maintenance of standards that enable a statewide information technology that can be efficiently and strategically managed.

2. To establish standards that formally guide the acquisition, maintenance and operations of information technology systems to make sure they are available, secure, cost effective and interoperable (as appropriate to business requirements).

5. Roles and Responsibilities

The CIO has charged the Division of Enterprise Architecture with the responsibility of establishing and maintaining the enterprise architecture of the Commonwealth. This responsibility includes identifying the roles, business models, policies, standards, technologies and decision-making criteria, maintaining a model of that information, and leading communication and collaboration efforts in as-is and to-be architectural visions that impact IT decisions, acquisitions, and deployment. The Enterprise Standards are an important tool for establishing and maintaining the Commonwealth architecture, defining the rules by which technology is managed, acquired and configured, and the Kentucky ITSC shall be the governing body for all standards.

The Chief Architect for the Commonwealth will lead the Kentucky ITSC with the support of the expertise, tools, and resources of the Enterprise Architecture Division. The ITSC shall be supported by domain technical workgroups and subject matter experts, as needed, to present recommendations to the Committee for consideration. The Technology Advisory Council (TAC) has review authority over unresolved exceptions. By statute, final authority for information technology in the Executive Branch resides with the CIO of the Commonwealth Office of Technology.

6. Membership

The Kentucky ITSC membership shall be a combination of agency and COT personnel. Agency representation will consist of one voting member each from the Cabinet for Health and Family Services, the Education/Workforce Development Cabinet, and the Kentucky Transportation Cabinet; and two more representatives from other agencies to be determined by the TAC. COT voting membership, known as the COT Standards Group, will consist of the COT Chief Architect and four members appointed by the executive directors of the Office of Infrastructure Services, the Office of Application Development, the Office of IT Service Management, and the Chief Information Security Office, respectively. Together, the agency representatives and COT Standards Group will be responsible for IT standards related to applications, application development, and other non-infrastructure standards involving the use of IT to solve business problems. The COT Standards Group, with advice from the agency representatives, will be responsible for IT infrastructure related standards.

Chair, Vice Chair, and EA Coordinator

- The Commonwealth Office of Technology Chief Architect shall serve as Chair and preside over Kentucky ITSC meetings. The Vice Chair of the committee shall be elected from among the agency representatives by a majority vote of those representatives. The Vice Chair shall serve as Chair in the absence, or at the request, of the Chair.

- The COT Chief Architect shall serve as Chair for the COT Standards Group establishing rules of operation with the group regarding meetings, online discussion, voting and/or consensus decision-making, and presiding over meetings as needed to discuss infrastructure related standards.
- The EA Coordinator shall be appointed by the COT Director of Enterprise Architecture and be a non-voting member providing administrative support to the committee.
- The Chair, Vice Chair, or EA Coordinator shall report to the TAC on Committee actions.

Non-Voting Members

Domain Architects/Subject Matter Experts

- Domain /Subject Matter Expert(s) may be assigned to provide expert opinion and/or conduct research on standards, proposed changes to standards, exceptions to standards.
- The EA Coordinator will maintain a list of Subject Matter Experts from COT and other Agencies who have been identified by the Chief Architect as experts in their field of technology. These may be domain architects or others with knowledge or experience in the areas of technology under review.

7. Meeting Organization and Procedures

Kentucky Information Technology Standards (KITS) Collaborative Work Environment (CWE)

The Kentucky IT Standards Collaborative Work Environment (CWE) shall be available to all Kentucky ITSC members and specified subject matter experts. In addition to the resources members may find helpful, the CWE shall support ITSC activities and provide processes to support the review of Information Technology Standards modification, addition, and deletion. The CWE is an on-line environment for reviewing, discussing, and voting on committee items.

https://cwe.ky.gov/entcom/eas/SitePages/Home.aspx

Meetings

- Quorum: Five voting members, including the Chair, shall constitute a quorum for Kentucky ITSC meetings.
- The standing committee meeting date and time for the year will be established at the January meeting; meetings may be rescheduled in case of conflicts or lack of quorum.
- Committee meetings may be called (scheduled) or cancelled at the discretion of the Chair or Vice Chair with a minimum of 24 hours advance notice to members.
- Committee members, representatives, and guests are required to sign-in as an attendee at each meeting.
- A quorum of voting members is required for any meeting.

In-Person Voting (Meetings)

- A Voting Member or representative must be present at a meeting to cast a vote.
- A proxy assignment shall be sent in writing (email) to the EA Coordinator, Vice Chair, and/or Chair prior to the meeting.
- Except where otherwise noted within this Charter, a simple majority of voting members present will rule.
- The Chair will follow common rules of order for conducting meetings. Members may make motions to act upon issues or to table issues. Members have the following voting options:
    - **Approve** (specify restrictions, if any),
    - **Deny** (specify reasons for denial),
    - **Abstain** (not voting for or against the request, but free to join in the meeting discussion if desired).

On-Line Voting (KITS CWE)

- A quorum of voting members is required for any ITSC vote. For On-Line Voting, a quorum will be the count of voting members casting a vote between the open and close dates. The total number of votes must equal a quorum as defined under meetings above.

- Voting Members have 5 business days from the date the Request is posted to cast a vote (this is referenced as the "Closed Date").
- A simple majority of voting members will rule.

  Members have the following voting options:
- **Approve** (specify restrictions, if any, in the corresponding Discussion Board),
- **Deny** (specify reasons for denial in the corresponding Discussion Board),
- **Hold for the next meeting** (in person discussions), One vote to hold the request for in-person discussions at the next meeting will result in a Hold on the request. Every attempt should be made to work through any issues on the corresponding Discussion Board to provide the requestor a timely response.
- **Abstain** (not voting for or against the request, but will count toward a quorum for the vote).
- A non-response (defined as a Member that does not Vote is not counted as a vote and is not counted as part of the quorum.
- Members can edit their votes up to the closing of the votes.

Charter Revisions

- The ITSC Charter shall be available on the Kentucky Information Technology Standards web page and on the KITS CWE. Revision to the Charter provisions shall be determined at a scheduled in person meeting and require a simple majority of Committee voting members present. The Charter shall be reviewed annually at the request of any member. Proposed changes to the ITSC Charter shall be forwarded to the CIO by the Chair of the ITSC with recommendations.

8. Exceptions and Addition/Modification Requests

The ITSC recognizes that not all standards fit the needs of all agencies at all times; occasionally an exception to the rule is needed (KITS Exception Request). In some cases, the current parameters of standards require expansion (KITS Addition/Modification Request).

Exceptions Request Form

The "KITS Exception Request Form" is used for all requests for exceptions to the KITS. The business case must describe specific justification for the use of the non-compliant IT products and/or services listed in each individual request. Agencies requesting the utilization of products and services outside the parameters of the IT Standards must, regardless of projected cost, develop an exception business case supporting their request. The request and business case shall be approved by the agency's highest-ranking IT officer and submitted as specified in the instructions at KITS exceptions. Exception requests are not required for products and/or services that have no documented standard; however, notification to the ITSC is encouraged to share experiences and results with the committee members. The justification must make a strong and compelling business case why the request is in the best interest of the Commonwealth. Instructions for submitting a KITS exception request are available on COT's website: http://technology.ky.gov/governance/Pages/ExceptionstoArch.aspx.

Addition/Modification Request Form

The "KITS Addition/Modification Request Form" is used for all requests for additions to or modification of the KITS. The business case must describe specific justification for the addition of a new KITS category, the addition of a product or service to an existing KITS category, a change to an existing KITS category, or a change to the products or services in an existing KITS category. The justification must make a strong and compelling business case of why the change is in the best interest of the Commonwealth. The request and business case shall be approved by the agency's highest-ranking IT officer and submitted as specified in the instructions at KITS Additions and Modifications.

KITS Request Process

The EA Coordinator reviews the request to ensure that it is complete and properly approved (deficient requests are returned to the requestor for correction). The request is then added to the request log and posted for the 5 day review and discussion by ITSC members. The EA Coordinator or any committee member may request a review and comments from a Subject Matter Expert. The EA Coordinator will notify members of the appropriate group to vote on the request: full ITSC membership for non-infrastructure requests and COT Standards Group only for infrastructure requests. Every

effort will be made to ensure the request is moved through the review/vote process within a five (5) day turnaround timeframe if possible. Some instances, such as a need for more review or the customers' availability, may require additional processing time.

KITS On-line Vote

Based upon the type of request either COT Standards Group members (infrastructure requests) or all ITSC members (non-infrastructure requests) will vote on the request. They will have the five (5) business day review period to vote on the request.

The EA Coordinator will summarize the responses received from the Committee Members and the Subject Matter Experts. If a "hold for next meeting vote" was cast, the request is added to the agenda for the next meeting of the appropriate group; otherwise, the request and a summary of responses and votes are forwarded to the CIO by the Chair for a decision.

KITS Committee Meeting Vote

When an online "Hold for next meeting" vote is cast, the request is placed on the agenda of the next meeting of the ITSC or COT Standards Group, as appropriate. During that meeting, the Chair will hold a discussion on the request and then call for a vote.

The EA Coordinator will summarize the discussion and votes at the meeting and combine them with the earlier responses received from the Committee Members and the Subject Matter Experts. Then the request and a summary of responses and votes are forwarded to the CIO by the Chair for a decision.

CIO Decision

The CIO will forward his decision to the Chair who will ensure the CWE is updated with the results and notify the Requestor. If a Modification or Addition is approved, the EA Coordinator will make the appropriate changes to the KITS.

Escalation Requests

Customers have the option of requesting a review of denied requests.

Customer Request for TAC Review

Requests received at minimum five (5) business days prior to a TAC meeting will be added to the agenda for that meeting. Requests received less than five (5) business days prior will be added to a future meeting's agenda. This is to allow the TAC ample time to make an informed and precise recommendation. Every effort should be made to ensure the timely processing of each request. The TAC will discuss the request and vote whether to recommend that the CIO revise his decision. The requestor will be notified of the TAC recommendation.

Request for CIO Review

If the requestor asks the CIO for a review, or the TAC recommends that the CIO revise his decision the CIO will review the request with all documentation, ask the customer questions if needed, and make a final determination. The CIO has the authority to approve or deny the request, and the decision is final. The EA Coordinator will notify the customer of the decision of the CIO.

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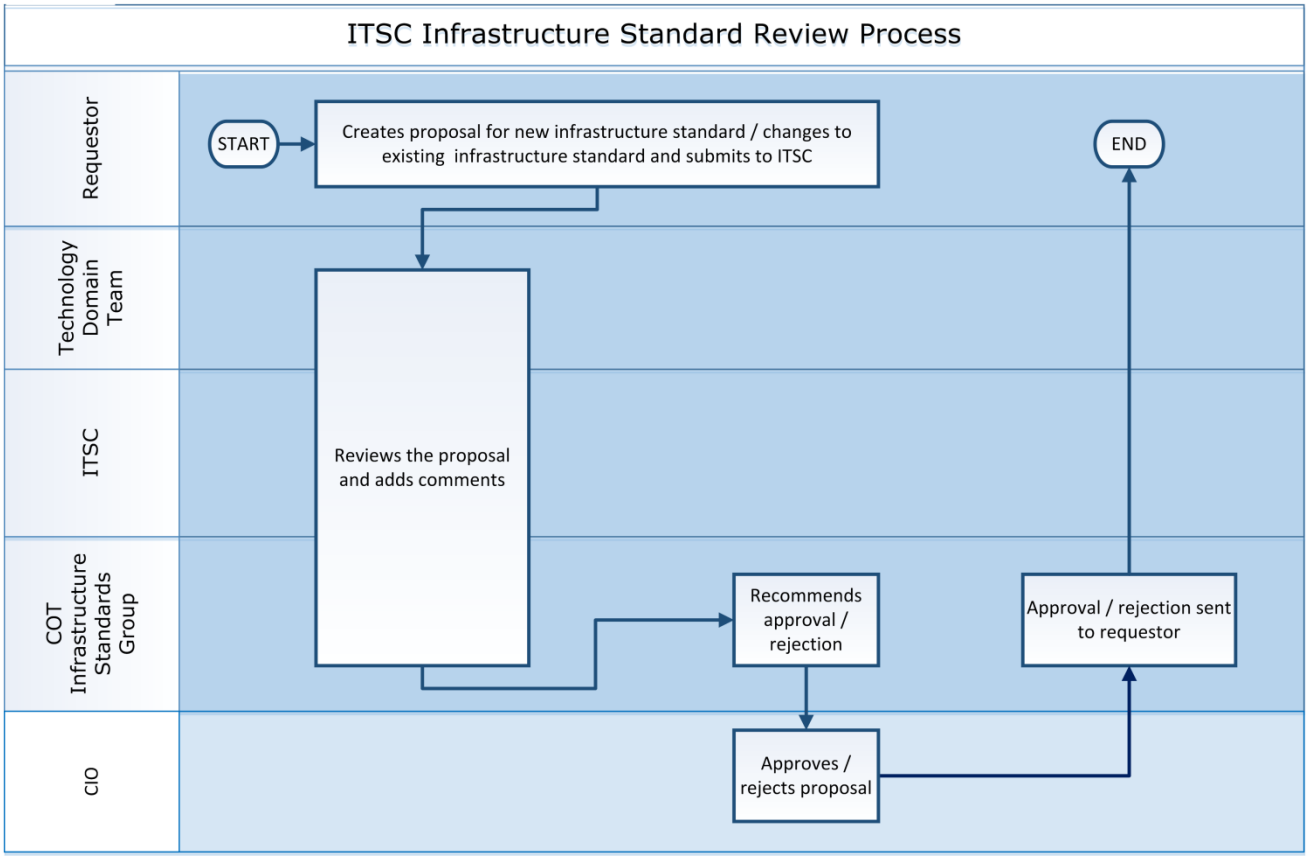

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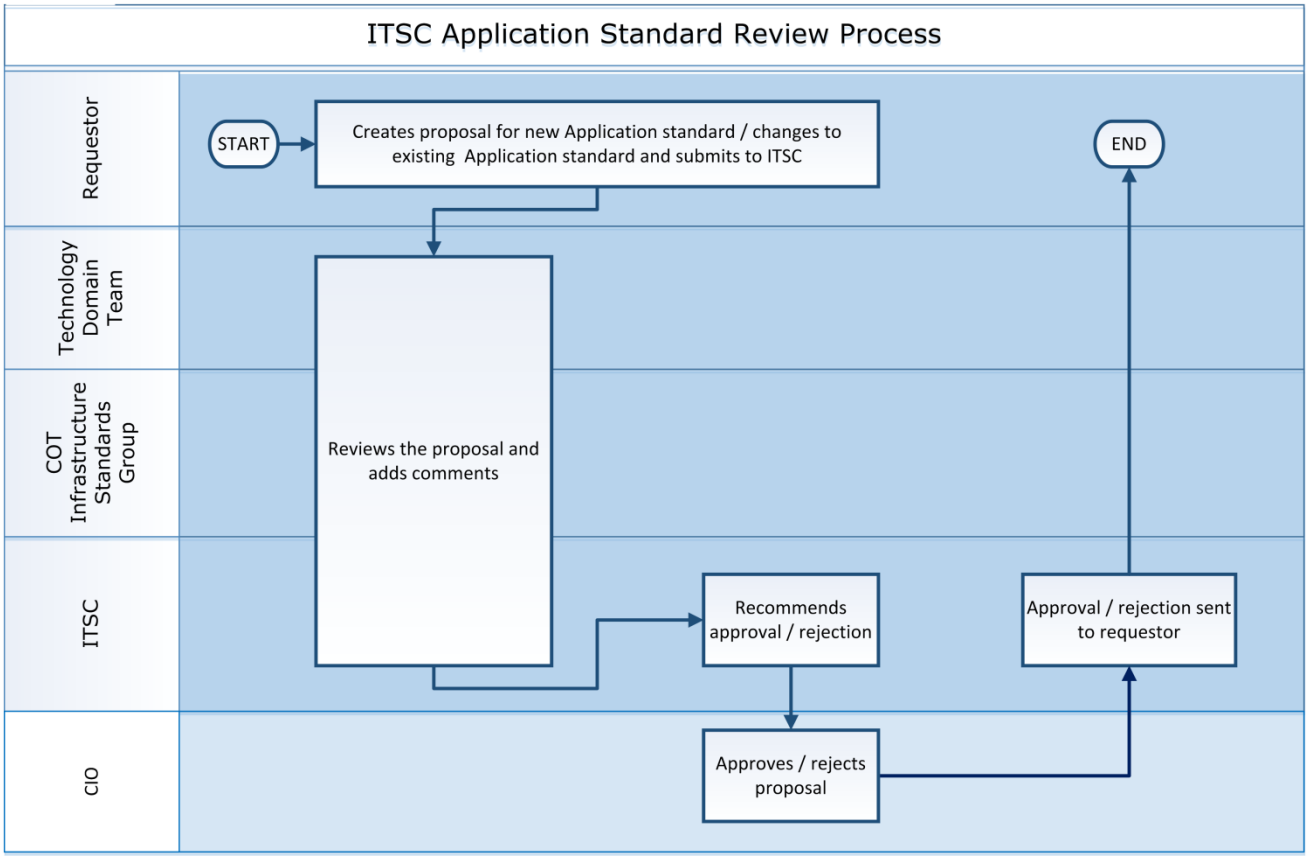

Charter Revision History

Document Revision History			
Version	**Date**	**Change**	**Updated By**
1.0	5/28/2009	Original Document	Lorraine Moore
1.1	6/17/2009	EASC Initial Review Changes requested	Lorraine Moore
1.1	7/06/2009	EASC Voted to Approve Charter	Lorraine Moore
2.0	1/20/2010	Section 6.4 – "Voting Members" are limited to Executive Cabinets. Other agencies are encouraged to participate as "Non-Voting Members"	Lorraine Moore
2.1	7/01/2010	Web Site links updated	Lorraine Moore
3.0	2/24/2011	Section 1 – KRS numbers updated. Section 5 – Enterprise Definition added. Section 7 (formerly 6) – revised/added language: - members to print and bring meeting materials to reduce excessive printing. - meeting date and time for the year to be established at January meeting. - voting members can allow a proxy by notifying Chair, Vice Chair, EASC Coordinator in advance. - a minimum of 6 agencies will grant a quorum. Section 8 (formerly 7) – revised/added language: - replaced "Director of IT Governance of COT's Office of Enterprise Technology" with "EAStandards@ky.gov" when used in reference to submitting forms. - replaced "COT Division of IT Governance Director and/or the Executive Director of the Office of Enterprise Technology" with "EASC Chair or Vice Chair"	Lorraine Moore
4.0	11/16/2011	Rewrite to include the use of the EAS Collaborative Work Environment web site. Combine Exception & Addition/Modification sections into one section.	Lorraine Moore
5.0	03/17/2014	Rewrite to reflect change from EASC to ITSC, describe KITS and new membership	Jerome Mueller
5.1	11/21/2014	Changes to de-conflict ITSC and EA responsibilities.	EA Team